**General Information:** The completion of this questionnaire supports Lilly’s certification with the U.S. Customs Trade Partnership Against Terrorism (CTPAT) program. Depending on risk, it may be completed in conjunction with a site visit by Lilly Global Security, or independently by the provider (I.e. no site visit).

**Purpose:** This questionnaire is intended to address all CTPAT requirements/recommendations. It represents Lilly’s good faith effort to refresh CTPAT awareness, identify any major gaps at the supplier’s site, and encourage CTPAT (or country equivalent) certification for third party providers.

**Scope**: This applies to providers (**Lilly or Non-Lilly**) shipping **from outside the U.S. to Lilly/Elanco sites, inside the U.S.**

**Frequency:** This questionnaire will be periodically updated, in consultation with Lilly.

|  |  |  |  |
| --- | --- | --- | --- |
| **General Information: Supplier Shipping to U.S. Lilly/Elanco Locations** | | | **Date:** Click to enter a date. |
| **Company Name** |  | | |
| **Address / City / Country** |  | | |
| **1st Contact: Name / Title** |  |  | |
| **Phone Number / Email** |  |  | |
| **2nd Contact: Name / Title** |  |  | |
| **Phone Number / Email** |  |  | |

|  |  |  |
| --- | --- | --- |
| **Facility Information** | | |
| **What activities are performed at this site?** | **Manufacturing  Warehouse  Shipping** | **Other**  Click here to enter text. |
| **Note: Facilities that have previously completed a Lilly CTPAT form may wish to refer to it when completing this questionnaire. Contact the Lilly CTPAT Program Manager if a copy of the previously completed questionnaire is needed.** | | |

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| **IMPORTANT NOTE: Lilly partners / suppliers currently certified in one of the CTPAT-approved supply chain security programs (listed below), may enter their certification number and disregard the remainder of this questionnaire.** | | | |
|  | | | |
| **Country Program** | **Certification Number / ID** | **Country Program** | **Certification Number / ID** |
| **Canada: PIP** |  | **Korea: AEO** |  |
| **Dominican Republic: AEO** |  | **Mexico: NEEC** |  |
| **European Union: AEO** |  | **New Zealand: SES** |  |
| **Israel: AEO** |  | **Singapore: STP** |  |
| **Japan: AEO** |  | **Taiwan: AEO** |  |
| **Jordan: Golden List** |  | **U.S.: CTPAT** |  |
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**General Comments:**

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Manage completed copies of this form as confidential information (secure paper copies, mark emails “Confidential).

**Save completed form and return to GlobalSecurity@lilly.com – attention CTPAT Program Manager.**

**Section 1 – Container Security: Destination: U.S.**

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| --- | --- | --- | --- |
| **Item #** | **Section/Control Description** | **Yes, No, or N/A** | **Description of Procedure or Explanation of any “No” or “NA” Answers** |
| **1.1** | Are procedures in place to protect against the introduction of unauthorized cargo and/or persons into shipping containers? | Choose an item. |  |
| **1.2** | Do you have written procedures to verify the physical integrity of the container before packing/stuffing? | Choose an item. |  |
| **1.3** | Does the procedure follow the CTPAT seven-point inspection to include:   |  |  | | --- | --- | | * Front Wall | * Left Side | | * Right Side | * Floor | | * Ceiling/Roof | * Outside/Undercarriage | | * Inside/Outside Doors/Locking Mechanisms | | | Choose an item. |  |
| **1.4** | Is the individual who conducts the seven-point inspection required to sign-off on an inspection checklist and document any anomalies or modifications to the container or truck? | Choose an item. |  |
| **1.5** | Are containers sealed with a high security bolt seal that meets or exceeds PAS ISO 17712? | Choose an item. |  |
| **1.6** | Are seals stored in a secure place (locked) with access limited to authorized personnel only? | Choose an item. |  |
| **1.7** | Is there a seal log to document seal #, container #, date, customer name, carrier name, seal applied by (name of warehouse employee)? | Choose an item. |  |
| **1.8** | Are seal numbers written on the shipping papers? | Choose an item. |  |
| **1.9** | If a seal is removed, is a new seal applied (by the carrier) with notification to dispatch and shipper, customs broker, and/or importer? This notification should contain the reason for removing the seal, and the new / replacement seal number. | Choose an item. |  |

**Section 1 Comments**

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**Section 2 – Physical Security**

| **Item #** | **Section/Control Description** | **Yes, No, or N/A** | **Description of Procedure or Explanation of any “No” or “NA” Answers** |
| --- | --- | --- | --- |
| **2.1** | Do you have security guards on site? If yes, are security guard instructions/procedures documented and current? | Choose an item. |  |
| **2.2** | Are controls in place to prevent unauthorized access to the **general property**? *This may include fences, walls, gates, barbed wire, natural barriers, security guards, security cameras and alarms, etc.* | Choose an item. |  |
| **2.3** | Are controls in place to prevent unauthorized entry to the **facility buildings, docks, offices, production areas**? *This may include standard key locks, padlocks, electronic locking systems, guards, security cameras, and alarms.* | Choose an item. |  |
| **2.4** | Do you use alarm systems and video surveillance cameras to monitor the site? | Choose an item. |  |
| **2.5** | If used, are security alarms (Example: motion, door contacts, etc.) always monitored? | Choose an item. |  |
| **2.6** | Is video surveillance data kept a minimum of 30 days? | Choose an item. |  |
| **2.7** | Are private passenger vehicles prohibited from parking in cargo handling and storage areas? | Choose an item. |  |
| **2.8** | Is lighting provided to cover entrances, exits, cargo handling / storage areas, docks, fence lines, and parking areas? | Choose an item. |  |
| **2.9** | Is the lighting sufficient to provide adequate video surveillance images? | Choose an item. |  |
| **2.10** | Does the facility have back up power &/ or an alarm to notify staff of power losses? | Choose an item. |  |

**Section 2 Comments:**

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**Section 3 – Physical Access Controls**

| **Item #** | **Section/Control Description** | **Yes, No, or N/A** | **Description of Procedure or Explanation of any “No” or “NA” Answers** |
| --- | --- | --- | --- |
| **3.1** | Is there a workforce identification and credential system that identifies, records, and controls individual's access to the facility perimeter and any controlled interior areas? *Individuals should only be granted access to the secure areas needed for performance of assigned duties or areas of responsibility.* | Choose an item. |  |
| **3.2** | Does the access control process identify all non-workforce visitors such as truck drivers, service providers, guests, or vendors? *This includes verification of photo-ID (for people not known to their host), and a visitor log including name of host, date / time of arrival / time of departure.* | Choose an item. |  |
| **3.3** | Are visitors escorted? Do they display a visible visitor badge or identification? | Choose an item. |  |
| **3.4** | Are the access control procedures for the facility documented? | Choose an item. |  |
| **3.5** | Does the procedures cover control, issuance, removal, and changing of access devices or privileges? Example: job changes, terminations | Choose an item. |  |
| **3.6** | Are controls in place to prevent unauthorized physical access to computer/server rooms? | Choose an item. |  |

**Section 3 Comments:**

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**Section 4 – Personnel Security**

| **Item #** | **Section/Control Description** | **Yes, No, or N/A** | **Description of Procedure or Explanation of any “No” or “NA” Answers** |
| --- | --- | --- | --- |
| **4.1** | Consistent with country and local laws, are pre-employment background checks conducted? | Choose an item. |  |
| **4.2** | Is access to company systems removed when employers are terminated? *Please describe termination procedure, exit checklist, and the process to return keys/access devices and deactivate system access.* | Choose an item. |  |

**Section 4 Comments:**

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**Section 5 – General Security Procedures: Are there procedures to address the following?**

| **Item #** | **Section/Control Description** | **Yes, No, or N/A** | **Description of Procedure or Explanation of any “No” or “NA” Answers** |
| --- | --- | --- | --- |
| **5.1** | Workforce reporting of suspicious people or activities? | Choose an item. |  |
| **5.2** | Managing security incidents? | Choose an item. |  |
| **5.3** | Inspect, test, repair, and replace non-functioning, damaged, or missing security devices? | Choose an item. |  |
| **5.4** | Ensure all shipping information is legible, complete, accurate, and protected against unauthorized changes or sharing? | Choose an item. |  |
| **5.5** | Ensure all cargo is accurately described, counted, weighed, and marked properly? | Choose an item. |  |
| **5.6** | Identify, investigate, and resolve shortages or overages at point of stuffing (Example: checking manifests, purchase orders)? | Choose an item. |  |
| **5.7** | Recognize compromised seals and notify local security or law enforcement if illegal or suspicious activity is detected? | Choose an item. |  |
| **5.8** | Ensure security alarms (if used) are immediately received and responded to? *For example: documented alarm response protocols for on-site security guards, site personnel, contacts to police, etc..* | Choose an item. |  |

**Section 5 Comments:**

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**Section 6 – Information Security**

| **Item #** | **Section/Control Description** | **Yes, No, or N/A** | **Description of Procedure or Explanation of any “No” or “NA” Answers** |
| --- | --- | --- | --- |
| **6.1** | Is there training on password protection and general information security? | Choose an item. |  |
| **6.2** | Are passwords specific / unique to individuals (I.e. not shared)? | Choose an item. |  |
| **6.3** | Are passwords periodically changed? | Choose an item. |  |
| **6.4** | Is access to business / customer data (either electronic or paper forms) limited to those in specific roles? | Choose an item. |  |
| **6.5** | Are controls in place to prevent unauthorized access to computer systems (I.e. user passwords, system firewalls, virus protection, secured servers)? | Choose an item. |  |

**Section 6 Comments:**

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**Section 7 – Security Training and Threat Awareness**

| **Item #** | **Section/Control Description** | **Yes, No, or N/A** | **Description of Procedure or Explanation of any “No” or “NA” Answers** |
| --- | --- | --- | --- |
| **7.1** | Is there basic security awareness training for the general workforce? *Examples may* *include: reading procedures, on-line training, classroom training, tests or exercises, and bulletin boards/posters.* | Choose an item. |  |
| **7.2** | Does the training cover how to address and report unauthorized access and other security incidents? | Choose an item. |  |
| **7.3** | Is there specific training for the shipping/receiving/warehouse workforce that focuses on dock and warehouse access, inspection/recognition/reporting of unauthorized cargo, piece count, document and manifest review, etc.? | Choose an item. |  |

**Section 7 Comments:**

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**Resources: CTPAT Resource Library and Job Aids:** [**https://www.cbp.gov/border-security/ports-entry/cargo-security/c-tpat-customs-trade-partnership-against-terrorism/c-tpat-resource-library-and-job-aids**](https://www.cbp.gov/border-security/ports-entry/cargo-security/c-tpat-customs-trade-partnership-against-terrorism/c-tpat-resource-library-and-job-aids)

**References:** The questions in this form were sourced from the following documents, and customized to focus on foreign providers (Lilly or Non-Lilly) shipping to Lilly/Elanco sites, located in the U.S.

* **CTPAT security profile criteria for point of origin:** <https://www.cbp.gov/sites/default/files/documents/importer_security_profile_overview_3.pdf>
* **CTPAT Highway Carrier Security Criteria**

<https://www.cbp.gov/sites/default/files/documents/hwy_carrier_security_criteria_english_3.pdf>